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GENERAL INVESTIGATIONS  
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SUBAPPENDIX A-1  
GENERAL INVESTIGATIONS  
(RCS CECW-B-12)

A-1.1. **Applicability.** This appendix provides Program guidance and procedures for all activities in the General Investigations (GI) appropriation title and comparable ones from the Flood Control, Mississippi River and Tributaries (MR&T) appropriation title, where appropriate. A listing of all GI activities follows. MR&T activities are listed only when applicable. The list identifies the location of guidance within this appendix for each Category/Class/Subclass and categorizes the responses that Divisions are required to make by this EC.

| Activity                                    | Category/<br>Class/<br>Subclass |         | Guidance<br>Provided in<br>Subappendix | Division<br>Response<br>(Yes or No) |
|---|---------------------------------|---------|--|-------------------------------------|
|   | GI                              | MR&T    |  |                                     |
| Navigation Studies                          | 901-110                         |         |  |                                     |
| Navigation - Reconnaissance                 | -111                            | 908-111 | A-2                                    | Yes                                 |
| Navigation - Feasibility                    | -112                            | -112    | A-2                                    | Yes                                 |
| Flood Damage Prevention Studies             | -120                            |         |  |                                     |
| Flood Damage Prevention - Reconnaissance    | -121                            | -113    | A-2                                    | Yes                                 |
| Flood Damage Prevention - Feasibility       | -122                            | -114    | A-2                                    | Yes                                 |
| Shoreline Protection Studies                | -130                            |         |  |                                     |
| Shoreline Protection - Reconnaissance       | -131                            |         | A-2                                    | Yes                                 |
| Shoreline Protection - Feasibility          | -132                            |         | A-2                                    | Yes                                 |
| Special Studies                             | -140                            |         |  |                                     |
| Special - Reconnaissance                    | -141                            | -115    | A-2                                    | Yes                                 |
| Special - Feasibility                       | -142                            | -116    | A-2                                    | Yes                                 |
| Watershed/Ecosystem - Reconnaissance        | -143                            |         | A-2                                    | Yes                                 |
| Watershed/Ecosystem - Feasibility           | -144                            |         | A-2                                    | Yes                                 |
| Comprehensive Studies                       | -150                            |         |  |                                     |
| Comprehensive - Reconnaissance              | -151                            | -117    | A-2                                    | Yes                                 |
| Comprehensive - Feasibility                 | -152                            | -118    | A-2                                    | Yes                                 |
| Review of Authorized Projects               | -160                            |         |  |                                     |
| Review of Deferred - Reconnaissance         | -161                            |         | A-2                                    | Yes                                 |
| Review of Deferred - Feasibility            | -162                            |         | A-2                                    | Yes                                 |
| Review of Completed - Reconnaissance        | -163                            |         | A-2                                    | Yes                                 |
| Review of Completed - Feasibility           | -164                            |         | A-2                                    | Yes                                 |
| Review of Marginal O&M Projects             | -166                            |         | NA                                     | No                                  |
| Review of Local Protection Projects         | -167                            |         | NA                                     | No                                  |
| Drought Contingency Planning (See O&M)      | -168                            |         | NA                                     | No                                  |
| Special Investigations                      | -171                            |         | A-3                                    | Yes                                 |
| FERC Licensing Activities                   | -172                            |         | A-3                                    | Yes                                 |
| Interagency Water Resources Development     | -173                            |         | A-3                                    | Yes                                 |
| Inventory of Dams                           | -174                            |         | NA                                     | No                                  |
| National Estuary Program                    | -175                            |         | A-3                                    | Yes                                 |
| North American Waterfowl Management Program | -176                            |         | A-3                                    | Yes                                 |
| National Marine Fisheries Program           | -177                            |         | A-3                                    | Yes                                 |

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| Activity   | Category/<br>Class/<br>Subclass |         | Guidance<br>Provided in<br>Subappendix | Division<br>Response<br>(Yes or No) |
|--|---------------------------------|---------|--|-------------------------------------|
|  | GI                              | MR&T    |  |                                     |
| Interagency and International Support  | 901-178                         |         | A-3                                    | Yes                                 |
| Coordination with Other Water Resources Agencies                                 | -181                            |         | A-3                                    | Yes                                 |
| Water Quality Management   | -184                            |         | NA                                     | No                                  |
| Coastal Zone Management  | -185                            |         | NA                                     | No                                  |
| Planning Assistance to States  | -186                            |         | A-3                                    | Yes                                 |
| National Wild & Scenic Rivers System   | -187                            |         | NA                                     | No                                  |
| Technical and Engineering Assistance on Shore and<br>Streambank Erosion (Sec 55) | -188                            | 908-119 | NA                                     | No                                  |
| Legislative Phase I Studies (FDP)  | -194                            | -132    | A-2                                    | Yes                                 |
| Collection and Study of Basic Data   | NA                              | -120    | NA                                     | No                                  |
| Stream Gaging  | -210                            |         | NA                                     | No                                  |
| Precipitation Studies  | -220                            |         | NA                                     | No                                  |
| International Waters Studies   | -240                            |         | A-3                                    | Yes                                 |
| Flood Plain Management Services  | -250                            |         | A-3                                    | Yes                                 |
| Hydrologic Studies   | -260                            |         | A-3                                    | Yes                                 |
| Scientific and Technical Information Centers                                     | -270                            |         | NA                                     | No                                  |
| Coastal Field Data Collection  | -280                            |         | NA                                     | No                                  |
| Transportation Systems   | -291                            |         | NA                                     | No                                  |
| Environmental Data Studies   | -292                            |         | NA                                     | No                                  |
| Flood Damage Data  | -295                            |         | NA                                     | No                                  |
| Automated Information Systems Support  | -294                            |         | NA                                     | No                                  |
| Research and Development   | -300                            |         | NA                                     | No                                  |
|  | -500                            |         | NA                                     | No                                  |
| Preconstruction Engineering and Design   |                                 |         |  |                                     |
| Projects not yet Authorized for Construction                                     | -400                            | -140    | A-2                                    | Yes                                 |
| Watershed/Ecosystem Projects   | -410                            |         |  |                                     |
| Navigation Channels and Harbors  | -421                            | -141    |  |                                     |
| Navigation Locks and Dams  | -422                            |         |  |                                     |
| Beach Erosion Control  | -440                            |         |  |                                     |
| Flood Control, Local Protection  | -451                            | -142    |  |                                     |
| Flood Control Reservoirs   | -452                            |         |  |                                     |
| Multiple Purpose Power   | -460                            |         |  |                                     |
| Projects Authorized for Construction   | -600                            | -160    | A-2                                    | Yes                                 |
| Watershed/ecosystem Projects   | -610                            |         |  |                                     |
| Navigation Channels and Harbors  | -621                            | -161    |  |                                     |
| Navigation Locks and Dams  | -622                            |         |  |                                     |
| Beach Erosion Control  | -640                            |         |  |                                     |
| Flood Control, Local Protection  | -651                            | -162    |  |                                     |
| Flood Control Reservoirs   | -652                            |         |  |                                     |
| Multiple Purpose Power   | -660                            |         |  |                                     |

A-1.2. **Organization and Structure.** Subappendix A-2 includes all specifically Programmed activities - Surveys, Restudies/Reviews, Legislative Phase Is, and Preconstruction Planning and Design (PED). It provides guidance on feasibility studies and PEDs, including new starts. Subappendix A-3 covers all other activities funded by the General Investigations appropriation title and the Flood Control, Mississippi River and Tributaries counterparts.



SUBAPPENDIX A-2  
SPECIFICALLY PROGRAMMED STUDIES AND PROJECTS - NEW AND CONTINUING

A-2.1. **Ten-Year Programs.**

a. **Overview and Objectives.** The major objective of the General Investigations program is to study and design projects that provide solutions to water resources problems. Each division's ten-year program should be developed and conducted in such a manner that an orderly flow of urgently needed, properly designed, locally supported projects that are in accord with current policies and priorities are available for inclusion in the Corps construction program. The reconnaissance phase must be programmed not to exceed 12 months, unless written approval has been received from HQUSACE (CECW-P) to extend beyond 12 months, and the feasibility study period should be 36 months or less. Preconstruction engineering and design (PED) for most projects should be scheduled for accomplishment within two years of completion of the feasibility report with engineering appendix. In such a manner a project can be made available for construction about six years after initiating the reconnaissance phase.

b. **Program Expenditure Ceilings.** Illustration A-2.6 provides a listing of the Division Program Expenditure Ceilings for, studies and projects, excluding CECW Programmed Items, for PY through PY+9. The ceilings have been developed based on a review of actual expenditures for each Division from PY-5 through PY-3 as well as current and projected requirements and as such represent the recent trend in capability that Division has exhibited in executing GI studies and projects in conjunction with the GI ceilings provided the Corps by the Office of Management and Program (OMB).

c. **Baseline Level.** (PRISM LVL C) Each Division will submit a ten-year program of continuing studies. Only studies and projects that adhere to existing legislation and current policy may be included within the ten-year program. The ten-year program will include specifically authorized continuing studies and projects.

d. **Decrement Below Baseline Level.** A decrement below baseline level is not required; however, each study and project must be prioritized as discussed in paragraph A-2.2 in order that division priorities may be respected, in so far as possible, in developing any nationwide decrement program that may ultimately be required.

e. **Capability Level.** (PRISM LVL C) This is an additional level that will include the new additional studies and projects that also adhere to existing legislation and current policy. Schedules of studies and projects included in the baseline level may be advanced when that opportunity is available. A capability program that exceeds the expenditure ceilings in excess of 25% of that reflected by Illustration A-2.6 must be accompanied by a waiver addressing the MSCs ability to execute the capability program level. The capability line will be utilized for developing the recommended program.

f. **Completion of Studies and Projects to be Terminated under current Policy.** Programming for ongoing studies and projects which do not meet the current policy criteria should be ~~limited to funds for execution~~ in compliance with the post PY-1 Appropriations video teleconference-agreed upon fact sheets.

A-2.2. **Prioritization.**

a. **Ranking.** Each specifically Programmed activity will be assigned a relative priority. This ranking should be developed after evaluation of the considerations outlined in the following paragraph.

b. **CECW Program.** CECW will review the GI portion of the Civil Works Program considering the national criteria in effect mid-summer PY-2 and guidance from ASA(CW) and OMB. It may or may not be possible to include all specifically Programmed studies that each Division recommends or that the Division included in the baseline level program. CECW may increase or decrease the total for GI. In such a case additional studies/projects may be accepted from your capability program. CECW will consider some or all of the following in developing the final Program:

- accord with current policy
- urgency of implementation of problem solution
- chance of economic viability of recommended plan
- local support for continuation of activity
- chance of non-Federal participation in implementation of solution
- scheduled activity completion date
- impact on fish and wildlife and/or wetland resources

A-2.3. **Program Description and Procedure.**

a. **Feasibility Studies.**

(1) **Description.**

(a) **Regular Studies.** This encompasses all studies in Codes 901-110 through 153 and 908-111 through 118 and includes continuing studies, Federally funded and cost-shared, and new starts for reconnaissance phase studies. Cost sharing is not applicable to single purpose inland navigation studies on the nations inland waterways system in accordance with ER 1105-2-100, para 2-12.b.(4).

(b) **Restudy of "Deferred" Projects/Review of Completed Projects.** A reconnaissance and then a feasibility phase at 50-50 cost sharing will be required for all studies unless the sole purpose of study is to dispose of a Federal project or reduce Federal expenses (i.e., disposal or turn over to local interests lock and dam projects with little or no commercial traffic). In this case the funding will be 100% Federal. For studies utilizing the "Review of Completed Projects" (Section 216), authority there must be an initial appraisal or reconnaissance report prepared using O&M funds under Inspection of Completed Works or individual projects prior to recommending a new start (reconnaissance or feasibility depending on the depth of study under O&M) under the General Investigations Program. The initial appraisal or reconnaissance report prepared under the O&M program should be limited to an expenditure of \$20,000. If more than \$20,000 is required, approval should be requested from CECW-OM, including sufficient information to justify the additional expenditure. Review of an operating Corps project may provide an effective mechanism for evaluating problems and opportunities in a watershed context. In such cases, the initial appraisal would be the vehicle for determining whether the project meets current day needs as well as identifying key stakeholders for participation in the subsequent feasibility process. The Restudy of Deferred Projects is the term used to examine a project that has been authorized but unconstructed for a number of years and local interests now wish to pursue implementation of a project. A reconnaissance study would be done to determine if the authorized project remains justified and meets current day needs. If so, the next step would be a PED resumption. If not, and if the reconnaissance determines that there is a justified alternative, a cost shared feasibility study would be conducted. PEDs programmed without a preceding feasibility study and PED resumptions must be reflected in PRISM database as an 'E' correlating with the subparagraph of section A-2.3.b(1). The studies/projects programmed in accordance with this



paragraph should utilize the appropriate Category/Class/Subclass (CCS) of paragraph A-1.1 that correlates with the Business Program when initiating a new phase and discontinue the use of the 160 CCSs.

**(2) Eligibility and Selection for Funding.**

(a) **New.** Eligible new starts include all active authorized feasibility studies which have not received an initial work allowance. The needs to be addressed should be of broad national scope and significance and should include at least one of the following: commercial navigation; inland navigation; flood damage reduction; hurricane and storm damage reduction; reallocation of existing storage or addition of storage to an existing project that would increase vendible outputs where there is no construction cost to the Federal government; and restoration of degraded ecosystem functions and values, including its hydrology, plant and animal communities, and/or portions thereof, to a less degraded ecological condition. (Within the restoration category of studies, priority will be accorded to cases where Corps projects contributed to the degradation of the ecosystem or where modification of existing Corps projects is the most cost effective means of restoring the ecological resources). Final selection for inclusion in the program will require justification on the specifics and history of the need or problem. The justification should be able to demonstrate the urgency for funding of the reconnaissance phase in the PY. In addition, based on recent expression of community interest, the Division Commander should believe there is a potential sponsor for the feasibility phase, one who understands the two-phase process and who would be willing to participate. Funds to initiate a new reconnaissance study will be issued with initial FY work allowances; however, the 12-month reconnaissance phase will be measured from the date of initial obligation of funds. Proposals for new Reviews of Completed projects must be accompanied by the completed initial appraisal or reconnaissance report prepared with O&M funds.

(b) **Continuing.** All active authorized continuously funded studies or previously funded cost shared studies that local interests fully support and that are judged likely to lead to implementation of a solution are eligible for funding in the PY. In addition, the study must address at least one of the needs of commercial navigation, flood damage reduction, hurricane and storm damage reduction, or restoration of fish and wildlife resources.

(c) **Resumption.** A General Investigations resumption is a study which was stopped but can now be resumed. Specifically a study that (1) was not included in the PY-1 Program or was not funded in the conference report which accompanied the PY-1 appropriation act and (2) was not funded in the conference report which accompanied the PY-2 appropriation act is a resumption. Where resumption of a feasibility study, that has heretofore been fully Federally funded, is proposed, the PY request will be for an update of the reconnaissance phase consistent with current policies at full Federal expense. Further work on the feasibility phase will be cost shared 50-50. Resumptions will be considered New Starts for eligibility and selection for funding purposes.

b. **Preconstruction Engineering and Design (PED).** PED will now be undertaken as an up-front cost shared program with local sponsors. Sponsors must assure that they understand and are ready to sign a PED cost sharing agreement and have funds available to finance the PED portion of the design of a project. PED will ultimately be cost shared at the rate for the project to be constructed but will be initially financed through the PED period at 25% non-Federal. Any adjustments that may be necessary to bring the non-Federal contribution in line with the project cost sharing will be accomplished in the first year of construction. There are five programs of PED.

(1) **Description.**

(a) **PED Under the Concepts of Two-phase and Cost-shared Planning.** A PED that results from cost shared studies conducted under the two phase procedures will be programmed and justified as a continuing activity. Normally initial funding will be programmed in the fiscal year the feasibility report with engineering appendix is completed. Normally funds will be allotted immediately after the Division Engineer's Notice. These projects will not have to compete for new start status and will be included in the Program request as continuing activities as long as the anticipated project to be recommended is in accord with current priorities and a non-Federal sponsor is ready to contribute 25% of the PED cost during PED by stating their readiness to sign a PED cost-sharing agreement. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction, including in most cases the plans and specifications for the first significant contract. The project data summary, Illustration A-2.5, includes a data element to distinguish PEDs in this group from the other PED types.

(b) **Traditional PED.** This includes PED on projects that have resulted from feasibility studies that were not accomplished under the two phase, cost-shared planning process. Normally, initial funding will be programmed in the fiscal year the feasibility report is completed. Funds will be allotted immediately after the Division Engineer's Notice if the funds have been Programmed and appropriated. These projects will have to compete for new start status and will not be included in a Program request as a new start unless specifically approved by the ASA(CW) and concurred in by the OMB and a non-Federal sponsor is ready to contribute 25% of the PED cost during PED by stating their readiness to sign a PED cost-sharing agreement. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction, including in most cases the plans and specifications for the first significant contract.

(c) **PED for ~~these~~ Projects Authorized for Planning and Engineering Only.** PED for projects authorized for planning and engineering by the Water Resources Development Act of 1986 are included in this group. These projects will be Programmed for initiation of PED only after new start selection by ASA(CW) and concurrence by OMB. By definition, the planning and engineering phase will include all work required to submit a feasibility report with engineering appendix, and will be cost shared 50/50 with local interests. In accordance with Section 301 of Water Resources Development Act of 1990, if the sponsor provides 50 percent of the cost of the feasibility study the design phase will be treated as cost of construction. The design phase will include all work after the feasibility phase, including the Design Documentation Report (DDR) and plans and specifications for the first significant contract, and will be cost shared according to project purpose. A non-Federal sponsor must be ready to contribute 25% of the PED cost during PED by stating their readiness to sign a PED cost-sharing agreement. Normally, there will be no reconnaissance phase for these projects unless specifically approved for inclusion in the program by CECW-P. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction.

(d) **PED for Inland Navigation Projects.** PED for inland navigation projects will be programmed in accordance with the instructions in paragraph b(1)(a) above, except that a non-Federal sponsor for financing 25% of the PED phase is not necessary.

(e) **Other PED.** PED for projects which are not adequately described by the preceding subparagraphs of section A-2.3.b.(1). Normally, initial funding will be programmed in the fiscal year the supporting report is completed. These projects will have to compete for new start status and will not be

included in a program request as a new start unless specifically approved by the ASA(CW) and concurred in by the OMB and a non-Federal sponsor is ready to contribute 25% of the PED cost during PED by stating their readiness to sign a PED cost-sharing agreement. The PED estimate will include the cost of all engineering efforts (including inflation through the PED period) that are necessary to ready the project for construction, including in most cases the plans and specifications for the first significant contract.

**(2) Eligibility and Selection Criteria.**

(a) **New.** Potential new starts described under A-2.3.b. (1) (b)(c) and (e) above include all active projects/ studies which have not received an initial work allowance for PED (Codes 901-4xx or 6xx and 908-14x or 16x) or projects that were reclassified to "inactive" or "deferred" categories and (see paragraph A-2.3 a. (1)(b) and (e)) subsequently reclassified to "active" which meet the following:

1. For fully Federally funded feasibility reports other than inland waterway projects a Division Engineer notice recommending the project will be issued by June of the PY; or
2. The project was authorized for planning and engineering only by the Water Resources Development Act of 1986; and
3. The project has net economic benefits at the current interest rate; and
4. The primary project outputs are commercial navigation, inland navigation; flood damage reduction; hurricane and storm damage reduction; or restoration of degraded ecosystem functions and values, including its hydrology, plant and animal communities, and/or portions thereof, to a less degraded ecological condition. (Within the restoration category of studies, priority will be accorded to cases where Corps projects contributed to the degradation of the ecosystem or where modification of existing Corps projects is the most cost effective means of restoring the ecological resources.); and
5. There is no major unresolvable controversy or issue; and
6. There is an identified and willing sponsor who understands and has the ability to finance PED at the 25% rate and has the ability to finance the items of local cooperation for construction.

Note that projects previously funded but with no conference allowance in the prior three fiscal years will be treated as new starts. Also, projects will be prioritized by impact on fish and wildlife and/or wetland resources (see Table B-2.1).

(b) **Continuing.** Any active project for which PED funds were previously and continuously (see paragraph A-2.3b.(2)(a)) appropriated or any project that has resulted from cost-shared studies conducted under the two phase procedure may be included if the following are met:

- there is a strong probability of implementing a solution; and
- the activity meets criteria 3, 4, 5, and 6 under subparagraph (a) above.

#### A-2.4. **Program Considerations.**

a. Program amounts should be based on the PY-1 program, when applicable. Assumed PY-1 work allowances must be based on a proportional assignment of 15% savings and slippage applied against the amount included for each study and project in the conference report which accompanies the PY-1 appropriations act, or the PY-1 program in the absence of Congressional action on the PY-1 appropriations. Studies and projects may show a reprogramming of funds to offset the assigned savings and slippage amount, if necessary. In general, funds should be reprogrammed from negative reconnaissance and feasibility studies to meet the full requirements of other ongoing studies and projects. However, unless specific exception has been made by CECW-B, such reprogrammings must be offsetting within each Division. Final savings and slippage reductions will be based on Congressional action on the PY-1 appropriations.

b. Cost estimates and the schedules presented to Congress should be considered an upper limit and where possible the studies should be concluded sooner and at less cost. Any proposed cost estimate increase which results from an increase in study scope will require a commitment to study cost sharing of the additional study effort by the local sponsor. If a waiver of this requirement is considered appropriate a specific proposal must be made and justification provided.

c. As stated in paragraph A-2.1.a. PED should be programmed for an accomplishment goal of two years of funding after completion of the feasibility report.

d. Study and PED cost estimates are to include an allowance for inflation in accordance with the instructions of paragraph 6 of this EC. The construction project cost estimate displayed in the PED portion of Illustration A-2.5 and the justification sheet will be based on 1 October of the PY-1 price level (DO NOT include an allowance for inflation through the construction period).

e. Annual funding requests for new reconnaissance phase studies are to be only for the amount required to carry out the anticipated activities during that FY.

f. Submissions for funding of continuing studies and projects not included in the PY-1 program request must be accompanied by a supplemental (page 2, see paragraph A-2.5.a.) justification describing the changed conditions that now warrant inclusion of the study/project in the PY request.

#### A-2.5. **Submission Requirements.**

a. **Justification Statements.** Supporting data for each study or project in the Division's programs, baseline and capability level, that has a funding requirement in the PY, both new and continuing, will consist of a Justification Sheet, two part where necessary. The mandatory first page is the Congressional Justification. See Illustrations A-2.1 through A-2.4 for format and content for new start reconnaissance phase, feasibility phase (cost shared), continuing surveys (full Federal expense), and PED. The second page, which is required when funds are being requested to continue a study or project which was not included in the PY-1 program or appropriations, is to be used to provide any additional information or expansion of data more appropriately classified as supporting data not appropriate for inclusion in the congressional justification, but may be necessary for proper and complete consideration for inclusion in the President's Program. ~~The justification sheets must be in Word97, on, 8 1/2 by 11 inch paper, in landscape orientation, right and left justified with 6 lines per in Arial 10 point font. The typed material must be confined to 6 1/2 inches vertically and 10 inches horizontally, leaving 1/2 inch margins on the left and right~~

~~sides, and 1 inch margins on the top and bottom.~~ The appropriation title and division must be typed as the first line in the body of the first page of the survey and PED justification package. Do not underline any headings. The District must be identified under the survey or PED name. Justifications for new starts and continuing studies and projects are to be submitted electronically to HQUSACE, CECW-BC, E or W, WASH, D. C. 20314-1000.

b. **PED Completion.** Division Commander approvals of PED funding are to be submitted to HQUSACE, CECW-BC, E or W, WASH, D.C. 20314-1000, as appropriate. The views of the local sponsor on the schedule also are to be included.

c. **ADP.** The standard study/project data summary table is shown in Illustration A-2.5, Baseline Level. This Illustration combines reconnaissance, feasibility studies and PED projects on the same sheet. All studies and projects, including new starts, will be coded into the system. Instructions have been furnished by separate correspondence. A feasibility study will use the same PWI number as the reconnaissance study when there is only one feasibility study as a result of the reconnaissance. In the situation where more than one feasibility results from a reconnaissance, a new PWI number and study name will have to be obtained from HQUSACE, CECW-BA for each additional feasibility study. In addition, a PED project will use the same PWI number as the feasibility study when there is only one project coming out of the parent study. In the situation where PED effort on one of a number of interims is to be displayed, a new PWI number, to be obtained from HQUSACE, CECW-BA, will have to be assigned and the project name modified appropriately. Any study or PED programmed for initiation in PY+1 or later should have a status code of "Z".

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ILLUSTRATION A-2.1  
NEW START RECONNAISSANCE PHASE STUDY

APPROPRIATION TITLE: General Investigations, Fiscal Year (PY)

Division: \_\_\_\_\_

| Study                        | Total<br>Estimated<br>Federal Cost<br>\$ | Allocation<br>Prior to<br>FY (PY-1)<br>\$ | Allocation<br>FY (PY-1)<br>\$ | Tentative<br>Allocation<br>FY (PY)<br>\$ | Additional<br>to Complete<br>After FY (PY)<br>\$ |
|------------------------------|--|---|-------------------------------|--|--|
| SURVEYS - NEW ( Insert Type) |  |   |                               |  |  |
| Study Name                   | 100,000                                  | 0   | 0                             | 100,000                                  | 0  |
| EFG District                 |  |   |                               |  |  |

Furnish a brief description of the study area, water resource development problems, and principle purposes of the study. For example, for flood damage prevention studies any information available on recent flood history. (dates, physical and dollar losses, etc), or for navigation studies include information on use (commercial vs. recreation) cargo types and quantities if known. For environmental studies, include information in terms of criteria such as degraded habitat units, acres of wetlands, uniqueness of the resource. Also provide any pertinent information concerning coordination with Federal and state resource agencies under the Fish and Wildlife Coordination Act (FWCA). Identify relationship to other project purposes if appropriate. Do not include irrelevant data such as "mild summers or harsh winters"; do include all the data that would tell why this study should be selected out of the many recommended. Also cite any matters known to be of concern to the Congress and identify the tentative local sponsor who has indicated intent to share equally in the feasibility phase cost that may follow the reconnaissance study. (A separate sponsor for an environmental study purpose may be appropriate.) Describe briefly the general scope and key areas of concern that are to be addressed in the reconnaissance study, probable solutions if this type of information is available, and the work to be performed in the program year. This paragraph should present specific arguments and evidence that it is important to initiate the study in the program year and similar evidence that makes it clear that the study and its anticipated outputs are in accord with Administration policy. The reconnaissance phase is scheduled to be completed in (Month 19XX), which is (12 or less) months after initiating the study.

Cite study authority. (In the event that sufficient study authority is not available to accomplish study purpose it should be so noted and a request for appropriate authority must be in progress.)

ILLUSTRATION A-2.2  
COST-SHARED FEASIBILITY STUDY

APPROPRIATION TITLE: General Investigations, Fiscal Year (PY)

Division: \_\_\_\_\_

| Study  | Total<br>Estimated<br>Federal Cost<br>\$ | Allocation<br>Prior to<br>FY (PY-1)<br>\$ | Allocation<br>FY (PY-1)<br>\$ | Tentative<br>Allocation<br>FY (PY)<br>\$ | Additional<br>to Complete<br>After FY (PY)<br>\$ |
|--|--|---|-------------------------------|--|--|
| ABCD River & Tributaries, Nothing Wash<br>EFG District | 400,000                                  | 0   | 100,000                       | 150,000                                  | 150,000  |

Furnish a brief description of the study area, water resource development problems, and principle purposes of the study. For example, for flood damage prevention studies any information available on recent flood history. (dates, physical and dollar losses, etc), or for navigation studies include information on use (commercial vs. recreation) cargo types and quantities if known. Do not include irrelevant data such as "mild summers or harsh winters"; do include all the data that would tell why this study should be selected out of the many recommended. Also cite any matters known to be of concern to the Congress. Describe briefly the general scope and key areas of concern that were or are being addressed in the reconnaissance study, probable solutions, and the work to be performed in the Program year. This paragraph should present specific arguments and evidence that it is important to fund the study in the Program year and similar evidence that makes it clear that the study and its anticipated outputs are in accord with Administration policy. Provide best available sponsor information. (Name of potential or actual sponsor, dates of verbal or written commitments, scheduled or actual FCSA signing.)

Fiscal Year (PY-1) funds are being used to fully fund the reconnaissance phase at full Federal expense. If the reconnaissance report is certified to be in accord with policy, the funds requested for Fiscal Year (PY) will be used to continue into the feasibility phase of the study. The preliminary estimated cost of the feasibility phase is \$600,000, which is to be shared on a 50-50 percent basis by Federal and non-Federal interests. Up to one half of the non-Federal share may be in-kind services. A summary of study cost sharing is as follows:

|                                 |           |
|---------------------------------|-----------|
| Total Estimated Study Cost      | \$700,000 |
| Reconnaissance Phase (Federal)  | 100,000   |
| Feasibility Phase (Federal)     | 300,000   |
| Feasibility Phase (Non-Federal) | 300,000   |

The reconnaissance phase is scheduled for completion in September (Month and Year)(Date of signing of FCSA). The feasibility study is scheduled for completion in September (Month and Year)(Date of Division Commander's public notice).

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ILLUSTRATION A-2.3  
FULL FEDERAL EXPENSE FEASIBILITY STUDY

APPROPRIATION TITLE: General Investigations, Fiscal Year (PY)

Division: \_\_\_\_\_

| Study                           | Total<br>Estimated<br>Federal Cost<br>\$ | Allocation<br>Prior to<br>FY (PY-1)<br>\$ | Allocation<br>FY (PY-1)<br>\$ | Tentative<br>Allocation<br>FY (PY)<br>\$ | Additional<br>to Complete<br>After FY (PY)<br>\$ |
|---------------------------------|--|---|-------------------------------|--|--|
| XYZ River Basin<br>EFG District | 750,000                                  | 200,000                                   | 225,000                       | 150,000                                  | 175,000  |

This paragraph should describe the study area, the water resources problems and potential solutions. Results of the study to date should be covered as well as information that conveys to the reviewer ( Corps, Army, OMB, Congress) that the study and its anticipated outputs are in accord with Administration priorities.

This paragraph is to be used to describe the activities to be undertaken during the PY-1. The activities pertaining to each interim are to be clearly described.

This third paragraph is to be used to describe the activities to be undertaken in the PY.

This final paragraph will set forth the schedule for the study including completion dates ( month and year ) (date of Division Commander's public notice) for each interim and the overall study.



ILLUSTRATION A-2.4  
PRECONSTRUCTION ENGINEERING AND DESIGN

APPROPRIATION TITLE: General Investigations, Fiscal Year (PY)

Division: \_\_\_\_\_

| Study  | Total<br>Estimated<br>Federal Cost<br>\$ | Allocation<br>Prior to<br>FY (PY-1)<br>\$ | Allocation<br>FY (PY-1)<br>\$ | Tentative<br>Allocation<br>FY (PY)<br>\$ | Additional<br>to Complete<br>After FY (PY)<br>\$ |
|--|--|---|-------------------------------|--|--|
| PRECONSTRUCTION ENGINEERING AND DESIGN ACTIVITIES (PED) - (Type) |  |   |                               |  |  |
| XYZ Project  | 1,100,000                                | 500,000                                   | 450,000                       | 150,000                                  | 0  |
| EFG District   |  |   |                               |  |  |

XWV River drains an area of about 2,114 square miles in southwest State and empties into Something Harbor. The XYZ flood plain encompasses about 1,560 acres of mostly urban development on the left bank of the XWV River. The maximum flood of record, that of December 1933, would have caused an estimated \$13.4 million damages to XYZ River under October (PY-1) prices and conditions of development. A feasibility report was completed in FY 1996. The recommended project, estimated to cost \$xx.x million with an estimated Federal cost of \$xx.xx million and an estimated non-Federal cost of \$xx.xx million, includes construction of a levee system to provide flood protection to 1,318 acres in XYZ. Pumping stations and gravity outlets with tide gates would be included to accommodate interior drainage. The average annual benefits amount to \$2.7 million, all for flood control. The benefit-cost ratio is 1.2 to 1 based upon the latest economic analysis dated (Month Year). Identify project sponsor and set forth latest evidence of support. (Sponsor's must assure that they understand and are ready to sign a PED cost sharing agreement and have funds available to finance the PED portion of the design of a project.) PED will ultimately be cost shared at the rate for the project to be constructed but will be financed through the PED period at 25% non-Federal. Any adjustments that may be necessary to bring the non-Federal contribution in line with the project cost sharing will be accomplished in the first year of construction.

|  |             |  |             |
|--|-------------|--|-------------|
| Total Estimated Preconstruction Engineering and Design Costs | \$1,333,000 | Total Estimated Preconstruction Engineering and Design Costs | \$1,333,000 |
| Initial Federal Share  | 1,000,000   | Ultimate Federal Share                                       | xxx,000     |
| Initial Non-Federal Share                                    | 333,000     | Ultimate Non-Federal Share                                   | xxx,000     |

The project is authorized for construction by (Cite the construction authorization and cost sharing requirements). Fiscal Year (PY-1) funds are being utilized to continue work on the Feature Design Memorandum, including economic studies. Fiscal Year (PY) funds will be used for completion of PED in (Month and Year).

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MM/DD/YY HH:MM VERSION: XYZ

ILLUSTRATION A-2.5  
STUDY DATA SUMMARY TABLE (\$ IN THOUSANDS)

LAST REVISION: MM/DD/YY PY\_\_\_PAGE ####

DIVISION/DISTRICT: \*\* (DIS)  
PY:\_\_\_ LVL: B

SELECT: \_\_\_\_\_ CWISPWJ: \_\_\_\_\_  
SINCE: \_\_\_\_\_ SORT: \_\_\_\_\_

| SURVEY   |  |  | P E D   |  |  |
|--|--|--|---|--|--|
| NAME: XYZ RIVER, ST<br>APPN: ___ CCS: ___ CWIS: _____ SS1:^^ SS2:^^ LPRJ: _____  |  |  | NAME: XYZ RIVER, ST<br>APPN: ___ CCS: ___ <u>CWISPWJ</u> : _____ SS1:^^ SS2:^^ LPRJ: _____  |  |  |
| STATUS: ___ <u>PY PRIORITY</u> % NONSTRUCTURAL FDR: ___ MAJOR BENEFITS: ___<br>STATE: ___ <u>40YR PRIORITY</u> : ___                       |  |  | STATUS: ___ <u>PY PRIORITY</u> % NONSTRUCTURAL FDR: ___ MAJOR BENEFITS: ___<br>STATE: ___ <u>40YR PRIORITY</u> : ___ PROGRAM CODE: ___<br>TOTAL BENEFITS/COSTB/C RATIO: ___       |  |  |
| DATES  |  |  | DATES   |  |  |
| FY FUNDS FIRST ALLOCATED: _____<br>SCHEDULED COMPLETION DATES:<br>LAST DD-MMM-YYYY<br>CURRENT DD-MMM-YYYY<br><u>CAPABILITY</u> DD-MMM-YYYY |  |  | FY FUNDS FIRST ALLOCATED: _____<br>SCHEDULED COMPLETION DATES<br>LAST DD-MMM-YYYY<br>CURRENT DD-MMM-YYYY<br><u>CAPABILITY</u> DD-MMM-YYYY<br>FY AVAILABLE FOR CONSTRUCTION: _____ |  |  |
| COST ESTIMATES   |  |  | COST ESTIMATES  |  |  |
| FEDERAL: _____<br>NON-FEDERAL: _____<br>TOTAL: _____<br>GRAND TOTAL (RECONNAISSANCE + FEASIBILITY): _____                                  |  |  | FEDERAL: _____<br>NON-FEDERAL: _____<br>TOTAL: _____<br>GRAND TOTAL (RECONNAISSANCE + FEASIBILITY): _____   |  |  |
| CURRENT YEAR - (PY-1) FUNDING  |  |  | CURRENT YEAR - (PY-1) FUNDING   |  |  |
| PROGRAM AMOUNT: _____<br>CONFERENCE AMOUNT: _____<br>ASSUMED SAVINGS AND SLIPPAGE: _____<br>OTHER ADJUSTMENTS _____<br>GRH AMOUNT _____    |  |  | PROGRAM AMOUNT: _____<br>CONFERENCE AMOUNT: _____<br>ASSUMED SAVINGS AND SLIPPAGE: _____<br>OTHER ADJUSTMENTS _____<br>GRH AMOUNT _____   |  |  |

ILLUSTRATION A-2.5 (Continued)  
STUDY DATA SUMMARY TABLE (\$ IN THOUSANDS)

| =====            |             |         |            |       |       |       |       |       |       |       |       |         |       |       |  |
|------------------|-------------|---------|------------|-------|-------|-------|-------|-------|-------|-------|-------|---------|-------|-------|--|
|                  |             | PROGRAM |            |       |       |       |       |       |       |       |       | BALANCE |       |       |  |
| FUNDING          | ALLOCATIONS | REQUEST | PROGRAMMED |       |       |       |       |       |       |       |       |         |       | AFTER |  |
| LEVEL            | THRU PY-2   | PY-1    | PY         | PY+1  | PY+2  | PY+3  | PY+4  | PY+5  | PY+6  | PY+7  | PY+8  | PY+9    | PY+9  |       |  |
| =====            |             |         |            |       |       |       |       |       |       |       |       |         |       |       |  |
| *** SURVEY ***   |             |         |            |       |       |       |       |       |       |       |       |         |       |       |  |
| FEDERAL (CORPS): |             |         |            |       |       |       |       |       |       |       |       |         |       |       |  |
| BASELINE         | -----       | -----   | -----      | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | -----   | ----- |       |  |
| CAPABILITY       | -----       | -----   | -----      | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | -----   | ----- |       |  |
| NON-FEDERAL:     |             |         |            |       |       |       |       |       |       |       |       |         |       |       |  |
| CASH             | -----       | -----   | -----      | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | -----   | ----- |       |  |
| OTHER            | -----       | -----   | -----      | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | -----   | ----- |       |  |
| *** PED ***      |             |         |            |       |       |       |       |       |       |       |       |         |       |       |  |
| FEDERAL(CORPS):  |             |         |            |       |       |       |       |       |       |       |       |         |       |       |  |
| BASELINE         | -----       | -----   | -----      | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | -----   | ----- |       |  |
| CAPABILITY       | -----       | -----   | -----      | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | -----   | ----- |       |  |
| CASH             | -----       | -----   | -----      | ----- | ----- | ----- | ----- | ----- | ----- | ----- | ----- | -----   | ----- |       |  |
| =====            |             |         |            |       |       |       |       |       |       |       |       |         |       |       |  |

- SURVEY FUNDING IS NOT IN BALANCE: BASELINE NONFEDERAL DECREMENT CAPABILITY
- SURVEY FUNDING IS NOT IN BALANCE: CONF MINUS S&S MINUS OTHADJ DOES NOT EQUAL WK-ALLOW
- PED FUNDING IS NOT IN BALANCE: BASELINE NONFEDERAL DECREMENT CAPABILITY
- PED FUNDING IS NOT IN BALANCE: CONF MINUS S&S MINUS OTHADJ DOES NOT EQUAL WK-ALLOW

Optional remark lines follow here.

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ILLUSTRATION A-2.6  
EXPENDITURE PROGRAM CEILINGS  
(\$000)

| MSC | FY 02  | FY 03  | FY 04  | FY 05  | FY 06  | FY 07  | FY 08  | FY 09  | FY 10  | FY 11  |
|-----|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| MVD | 18,100 | 18,700 | 19,300 | 19,900 | 20,500 | 21,200 | 21,900 | 22,600 | 23,300 | 24,100 |
| NAD | 18,200 | 18,800 | 19,400 | 20,000 | 20,700 | 21,400 | 22,100 | 22,800 | 23,500 | 24,300 |
| NWD | 8,700  | 9,000  | 9,300  | 9,600  | 9,900  | 10,200 | 10,500 | 10,800 | 11,100 | 11,400 |
| LRD | 15,400 | 15,900 | 16,400 | 16,900 | 17,400 | 18,000 | 18,600 | 19,200 | 19,800 | 20,400 |
| POD | 3,800  | 3,900  | 4,000  | 4,100  | 4,200  | 4,300  | 4,400  | 4,500  | 4,600  | 4,700  |
| SAD | 8,100  | 8,300  | 8,500  | 8,700  | 9,000  | 9,300  | 9,600  | 9,900  | 10,200 | 10,500 |
| SPD | 23,100 | 23,900 | 24,700 | 25,500 | 26,300 | 27,200 | 28,100 | 29,000 | 30,000 | 31,000 |
| SWD | 10,400 | 10,700 | 11,000 | 11,300 | 11,600 | 12,000 | 12,400 | 12,800 | 13,200 | 13,600 |

### SUBAPPENDIX A-3 CECW PROGRAMMED ITEMS

A-3.1. **Required Field Input.** This subappendix provides necessary guidance on CECW programmed General Investigations items. The following table identifies the items which require District and Division response, hard copy only.

| Activity  | Cat/Class/<br>Subclass |
|---|------------------------|
| a. Special Investigations                           | (Code 901-171)         |
| b. Gulf of Mexico Program                           | (Code 901-171)         |
| c. Pacific Northwest Forest Case Study              | (Code 901-171)         |
| d. Chesapeake Bay Program                           | (Code 901-171)         |
| e. FERC Licensing Activities                        | (Code 901-172)         |
| f. Interagency Water Resources Development          | (Code 901-173)         |
| g. National Estuary Program                         | (Code 901-175)         |
| h. North American Waterfowl Management              | (Code 901-176)         |
| i. Interagency and International Support            | (Code 901-1738)        |
| j. Coordination with Other Water Resources Agencies | (Code 901-181)         |
| k. CalFed   | (Code 901-181)         |
| l. Lake Tahoe Federal Interagency Partnership       | (Code 901-181)         |
| m. Planning Assistance to States                    | (Code 901-186)         |
| n. International Waters Studies                     | (Code 901-240)         |
| o. Flood Plain Management Services                  | (Code 901-250)         |
| p. Hydrologic Studies                               | (Code 901-260)         |

#### A-3.2. **Program Procedure.**

a. The activities covered by this subappendix are programmed by CECW. You should assume your allowances will remain at or about the same level as PY-2 through PY+9 in preparing programming documents for the fifteen activities requiring Division response.

b. If a division is experiencing conditions that would materially affect its requirements for the activities covered, the Division Commander should submit a brief letter to HQUSACE, CECW-BW outlining the changed conditions.

c. Note that there are three accounts that are similar, in that they provide the ability to respond to other entities without being either agency or project/study specific, but that serve different functions. They are Special Investigations, Interagency Water Resources Development, and Coordination with Other Water Resources Agencies. Special Investigations is for limited scope investigations, not for coordination. Interagency Water Resources Development is for coordination with others on problems that may lead to specific studies such as cost sharing or applicability of Corps programs to water resources problems. The Coordination with Other Water Resources Agencies account is for coordination with Planning Commissions, other Federal Water Resources Agencies or other entities which serve that function, on regional problems of a general nature not related to a programmed study or specific potential study. Some requests for assistance will not fit clearly into one of these three accounts, but you should be sure that, to the extent possible, such

activities are programmed in the appropriate account and that activities in the three accounts are not duplicative.

A-3.3. **Submission Requirements.** Provide a breakdown by District for each activity listed in paragraph A-3.1, for PY-1 and PY in the format of Illustration A-3.1. The information should provide a base to develop allowances for varying program levels.

A-3.4. **Special Investigations.**

a. **Program Objective.** This category is for investigations of limited scope, in replying to requests from sources outside the Corps of Engineers, for information relating to unauthorized projects and other activities which have no funds, and which are not accomplished with a view toward determining whether a project can be developed. Also included is work specifically authorized by the Chief of Engineers; the review of reports and Environmental Impact Statements requested by other agencies, unless otherwise provided for; and attendance at meetings of local interests and other agencies during the preliminary stages of project investigations.

(1) The program objective specifically includes The Gulf of Mexico Program, which is an interagency effort for resolving complex environmental problems associated with man's use of the Gulf of Mexico. This program is limited to divisions and subordinate districts bordering on the Gulf of Mexico.

(2) The program objective specifically includes the Pacific Northwest Forest Case Study, which is an interagency program initiated by the White House's Council on Environmental Quality for ecosystem management of the public lands within the range of the Northern Spotted Owl.

(3) The program objective specifically includes the Chesapeake Bay program, which is an interagency program initiated by the U.S. Environmental Protection Agency, for the protection and restoration of the bay's natural resources. Work which requires Section 510 of the Water Resources Development Act of 1996 authorization is subject to the cost sharing of that authorization.

b. **Narrative Paragraph Submission.** A narrative paragraph should be submitted which describes specific investigations, studies, or tasks accomplished under this activity for the PY-3 and PY-2 to date in the format of Illustration A-3.2.

A-3.5. **FERC Licensing Activities.**

a. **Program Objective.** The objective of the Federal Energy Regulatory Commission licensing activities is to provide timely review of FERC license and permit applications consistent with regional and national priorities. Review is accomplished on a first come-first served basis.

b. **Eligibility.** License or permit applications are eligible for consideration if they are for new or existing non-Corps operated facilities. Review of license and permit applications which could have an effect on ongoing projects under construction or being operated by the Corps should be accomplished with available project funds.

A-3.6. **Interagency Water Resources Development.** The interagency water resources development program is for Corps of Engineers districts activities, not otherwise funded, that require

coordination effort with non-Federal interests. These activities include such things as meeting with City, County and state officials to help them solve water resources problems when they have sought advice or to determine whether or not Corps programs are available and should be used to address the problems. The funds would also be used to cover costs of meeting with potential study sponsors prior to programming for study to insure they fully understand study cost sharing and to obtain an indication of their interest in participating in a future study.

**A-3.7. National Estuary Program (NEP).** The NEP is an interagency planning program to develop management plans for nationally significant estuaries designated by EPA. To date, the following 23 estuaries have been designated under the program: Columbia River, WA & OR; Mobile Bay, AL; Morro Bay, CA; Charlotte Harbor, FL; Maryland Coastal Bays, MD; New Hampshire Estuaries, NH; Barnegat Bay, NJ; Puget Sound, WA; Delaware Bay, DE; Delaware Inland Bays, DE; New York/New Jersey Harbor, NY-NJ; Sarasota Bay, FL; Santa Monica Bay, CA; San Francisco Bay, CA; Galveston Bay, TX; Albemarle/Pamlico Sound, NC; Buzzards Bay, MA; Narragansett Bay, RI; Long Island Sound, CT-NY; Peconic Bay, NY; Massachusetts Bay, MA; Barataria/Terrebonne Bay, LA; and Indian River Lagoon, FL. Because of extensive Corps involvement with Federal water resources projects in the nation's estuaries and other responsibilities in waters of the U.S., the Corps has been asked to participate on the management and technical advisory committees of those NEP estuaries being studied. The requested funds will be used to cover costs of Corps field office meeting attendance, field reconnaissance, and data transfer.

**A-3.8. North American Waterfowl Management Program (NAWMP).** The NAWMP is an international program designed to reverse downward trends in North America's waterfowl populations by protecting and improving waterfowl habitats nationwide, particularly in 34 areas within the United States identified as being critical to meeting NAWMP goals and objectives. Department of the Army support to the NAWMP is set forth in an agreement signed with the Department of the Interior on January 23, 1989. The Corps of Engineers has broad water resources development responsibilities and authorities, and has stewardship responsibilities for over seven million acres of water and land. Many Corps of Engineers projects contribute directly or indirectly to the habitat base for the nation's waterfowl and other wetland species. The requested funds will be used to cover costs of Corps of Engineers field office participation in field trips, interagency coordination meetings, and information transfer in response to conditions set forth in the agreement between the Department of the Interior and the Department of the Army.

**A-3.9. Interagency and International Support.**

a. **Program Objective.** Authorized by Section 234 of the Water Resources Development Act of 1996, this program is for activities in support of other Federal agencies or international organizations to address problems of national significance to the United States.

b. **Submission Requirements.** An illustration A-3.6 titled Interagency and International Support is required. Illustration A-3.6 is an information display with supporting narrative in the format of Illustration A-3.4. The narrative should identify the work that would be pursued with the requested fund.

**A-3.10. Coordination with Other Water Resources Agencies** (including Department of Agriculture, ~~Soil~~Natural Resources Conservation Service; Department of Interior, Bureau of Reclamation; and Regional Planning Commissions and Committees Programs).

a. **Program Objective.** The objective of this program is to provide coordination with these agencies on water resources issues and problem areas of mutual concern that are general in nature and not part of a programmed project or study.

b. **CalFed.** The program objective specifically includes the CALFED Bay-Delta Program solution process for the development of a long -term comprehensive plan that will restore ecological health and improve water management for beneficial uses of the Bay-Delta system.

c. **Lake Tahoe Federal Interagency Partnership.** The program objective includes Corps participation in the partnership with other Federal Agencies, in accordance with Executive Order 13057 "Federal Actions in the Lake Tahoe Region", to insure cooperation, support and synergy.

#### A-3.11. **Planning Assistance to States.**

a. **Program Objective.** The Planning Assistance to States program is carried out in accordance with the provisions of Sec. 22, PL 93-251. This public law authorizes the Chief of Engineers to cooperate with States (Commonwealths, Territories, etc.) and Indian tribes in the preparation of plans for the development, utilization, and conservation of water and related land resources of drainage basins located within the boundaries of the state. Assistance is provided on the basis of State or tribe requests. When a state or tribe is served by more than one division, the Lead Division assigned in Table 2-5, ER 1105-2-100, has the responsibility for providing data on work requested by that state or tribe. The Lead Division may further delegate that responsibility to a Coordinating District, but that Coordinating District is responsible for coordinating not only with the State or tribe, but also with the other Districts doing work for that State or tribe.

b. **Submission Requirements.** Planning assistance is coordinated and scheduled to ensure the continuation and completion of ongoing work and the timely initiation of new work requested by the States and tribes. Lead Division offices should provide a prioritized listing of all work for states and tribes under their responsibility in the format of Illustration A-3.3.

#### A-3.12. **International Waters Studies.**

a. **Program Objective.** This program contributes to better control, utilization, and orderly development of jointly - controlled water resources along the U.S. - Canadian boundary. It encompasses four boards and one committee established by the International Joint Commission (IJC) and in response to other U.S./Canadian cooperative efforts. IJC boards fall into two broad categories: boards of control, which are essentially permanent; and engineering or advisory boards, which are usually dissolved after completing their investigation.

b. **Eligibility.** Activities within the scope of authority of an appropriate Board or committee are eligible for funding.

c. **Submission Requirements.** An information display and supporting narrative as shown in Illustration A-3.4 is required.



#### A-3.13. Flood Plain Management Services (FPMS).

a. **Program Objective.** The Corps is authorized by Section 206 of the 1960 Flood Control Act, as amended, to provide information, technical assistance, and guidance, in identifying the magnitude of the flood hazard and for planning wise use of the flood plain. Direct response and assistance are provided through the FPMS program to states, Indian tribes and local governments without charge and to Federal agencies and private persons on a cost reimbursable basis.

b. **Submission Requirements.** An information table as shown in Illustration A-3.5 is required. FPMS funding requirements are to be shown for (1) the Division FPMS Unit, (2) District FPMS Units, (3) Quick Responses taking 10 minutes or less and provided without charge, (4) Technical Services, and (5) Special studies. An estimated cumulative number of responses to requests will be shown for Quick Responses and Technical Services. Submit two versions of Illustration A-3.5; one for the PY-2 amount and another based on capability to meet demand from state, tribal and local governments. The funding requirements for Quick Responses should not exceed two percent of the PY-2 work allowance amount. Hurricane Evacuation Study (HES) funding will be retained by HQUSACE for allotment at a later date. Full reimbursement should be required for assistance to Federal agencies and private persons. Information provided for Illustration A-3.5 should exclude all requirements for HES and for assistance to Federal agencies and private persons.

#### A-3.14. Hydrologic Studies.

a. **Program Objectives.** To collect and analyze basic data on hydrologic, climatologic, and river morphology for general use in connection with the Corps planning design, construction, and operation of water resource projects.

b. **Submission Requirements.** Provide a breakdown by District in the format of illustration A-3.1. Note that all activities in this class ( 260 ) should be defined and reported as follows:

(1) **261, Storm Studies.** Includes Part I and II storm studies accomplished in coordination with National Weather Service.

(2) **262, General Hydrologic Studies.** Includes generalized hydrologic analyses of rainfall - runoff relationship, flood frequency, snowmelt studies, hydrograph development and routing at selected watersheds, model calibrations in urban areas, and analyses of past floods and other studies of hydrologic nature.

(3) **263, Sedimentation Studies.** Includes all non-project sedimentation investigation activities at the Waterways Experiment Station.

(4) **264, Streamflow and Rainfall Data Collection.** This is a continuing program where funds are used provides for installation and operation of streamflow and rainfall gages for general studies. It also includes provides for flood investigation activities such as investigation of hurricane surges, high water mark setting, measurement, and recordings, and rainfall bucket surveys.

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31 Mar 00

ILLUSTRATION A-3.1  
DISTRICT BREAKDOWN  
(Code 901-171,172,173,175,176,177,178,181,186,240,250,260)  
(\$K)

Division: \_\_\_\_\_

Tentative Allowance

Total  
DIST.-A  
DIST.-B  
DIST.-C  
etc

PY-1  
PY

SPECIAL INVESTIGATIONS  
(AND)  
GULF OF MEXICO PROGRAM  
(AND)  
PACIFIC NORTHWEST FOREST CASE STUDY  
(AND)  
CHESAPEAKE BAY PROGRAM  
(AND)  
FERC LICENSING  
(AND)  
INTERAGENCY WATER RESOURCES DEVELOPMENT  
(AND)  
NATIONAL ESTUARY  
(AND)  
NORTH AMERICAN WATERFOWL MANAGEMENT

FOR ILLUSTRATION PURPOSES ONLY  
(To be typed as necessary)

ILLUSTRATION A-3.1 (Continued)  
DISTRICT BREAKDOWN  
(Code 901-171,172,173,175,176,177,181,186,240,250,260)  
(\$K)

Division: \_\_\_\_\_

Tentative Allowance

Total  
DIST.-A  
DIST.-B  
DIST.-C  
etc

PY-1  
PY

(AND)  
INTERAGENCY AND INTERNATIONAL SUPPORT  
(AND)  
COORDINATION WITH OTHER WATER RESOURCES AGENCIES  
(AND)  
CALFED  
(AND)  
LAKE TAHOE FEDERAL INTERAGENCY PARTNERSHIP  
(AND)  
PLANNING ASSISTANCE TO STATES  
(AND)  
INTERNATIONAL WATER STUDIES  
(AND)  
FLOOD PLAIN MANAGEMENT SERVICES  
(AND)  
HYDROLOGIC STUDIES  
SUBCLASS  
PY-1  
PY

FOR ILLUSTRATION PURPOSES ONLY  
(To be typed as necessary)

EC 11-2-179  
31 Mar 00

ILLUSTRATION A-3.2  
WORK ACCOMPLISHED  
(Code 901-171)

Division: \_\_\_\_\_

**SPECIAL INVESTIGATIONS**

| DISTRICT | NARRATIVE DESCRIPTION |
|----------|-----------------------|
| A        | PY-3:                 |
| A        | PY-2:                 |
| B        | PY-3:                 |
| B        | PY-2:                 |
| etc.     |                       |

FOR ILLUSTRATION PURPOSES ONLY  
(To be typed as necessary)

ILLUSTRATION A-3.3  
PLANNING ASSISTANCE TO STATES  
(Code 901-186)  
Priority Listing  
Fiscal Year \_\_\_\_\_

Lead Division: \_\_\_\_\_

| Work<br>Item<br>Name | State | State<br>Priority | Performing<br>Office | Amount<br>(\$000) |
|----------------------|-------|-------------------|----------------------|-------------------|
| <u>1/</u>            |       |                   | <u>2/</u>            |                   |

1/ List work items in order of decreasing priority as established by the Lead Division.

2/ Priority as indicated by the State.

FOR ILLUSTRATION PURPOSE ONLY  
(To be typed as necessary)

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ILLUSTRATION A-3.4  
INTERNATIONAL WATERS STUDIES  
(Code 901-240)

Division: \_\_\_\_\_

**Justification:** Furnish a brief description of the Division/Districts activities and potential accomplishments relating to the functions of each board or committee. Include the associated Program request for each board.

FOR ILLUSTRATION PURPOSE ONLY  
(To be typed as necessary)

ILLUSTRATION A-3.5  
FLOOD PLAIN MANAGEMENT SERVICES  
(Code 901-250)

Division: \_\_\_\_\_

| Work Item           | Amount<br>(\$000) | Total #<br>Responses/Studies |
|---------------------|-------------------|------------------------------|
| Division FPMS Unit  | N/A               |                              |
| District FPMS Units | N/A               |                              |
| Quick Responses     | (5% Max.)         | (# of Responses)             |
| Technical Services  |                   | (# of Responses)             |
| Special Studies     |                   | (# of Studies)               |

FOR ILLUSTRATION PURPOSES ONLY  
(To be typed as necessary)